



ROBIN CARNAHAN
SECRETARY OF STATE

When A Broker Calls, Take Notes

(If you don't know the broker, feel free to hang up!)

Date _____ Time _____

☐ Call Made ☐ Call received

Name of Broker _____ Phone _____

Broker's Firm _____ Phone _____

Broker's Central Registration Depository "CRD" No. _____ ☐ Obtained CRD Report*

1 Investment Recommendation

☐ Buy ☐ Sell

Name of security: _____

Reasons for recommendation: _____

How does this meet my investment objectives? _____

What are the risks? _____

*Call the Missouri Securities Division (800) 721-7996 to obtain a CRD report. This report discloses any disciplinary incidents for your salesperson.

I asked to receive written information about the investment before making a decision.

☐ Yes

☐ No

I will get:

☐ a prospectus

☐ an offering memorandum

☐ most recent Annual Report

☐ recent news releases

☐ research reports

☐ other information

Proposed Trade

Number of shares/units _____

Price Per Share \$ _____

Commission \$ _____

My instructions

☐ Do nothing

☐ Buy

☐ Sell

Number _____ Price \$ _____

If you suspect wrong doing, please contact the
Missouri Secretary of State's Securities Division at (800) 721-7996.
www.sos.mo.gov/securities

2 Additional Investment Recommendation on same date

☐ Buy ☐ Sell

Name of security: _____

Reasons for recommendation:

How does this meet my investment objectives?

What are the risks?

Notes

I asked to receive written information about the investment before making a decision.

☐ Yes☐ No

I will get:

□ a prospectus

☐ an offering memorandum

☐ most recent Annual Report

- ☐ recent news releases

- ☐ research reports

☐ other information

Proposed Trade

Number of shares/units

Price Per Share \$

Commission \$

My instructions

☐ Do nothing ☐ Buy ☐ Sell

Number	Price \$
1	100
2	200
3	300
4	400
5	500
6	600
7	700
8	800
9	900
10	1000

Notes made by:

Date:

Time: